

APPENDIX E

Access Level Record for Serials Cataloging Guideline Final Report Version¹

The mandatory data elements and following guidelines set the standard for the CONSER record, and replace previous different levels of CONSER records. Every record in the CONSER database will minimally contain the data indicated. Catalogers are free to add additional fields and data elements to their records to meet local needs (e.g. call number fields), and these may be included as part of the national shared record, unless specifically prohibited (e.g. local URLs).

One of the goals of the Access Level Record is to achieve efficiencies by eliminating redundancies. However, the Working Group recognized that a certain amount of redundancy in the MARC bibliographic record needs to be maintained at present because of the differing needs of a human user, who needs eye-readable material for identification, and a machine search, which is dependent on coded information, as can be seen in the guidelines for handling language information. More automated support from OPAC vendors could minimize the cataloger's work, by automatically generating the eye-readable information from the coded data.

Handling copy

Do not remove any fields from copy even if those fields would not be part of an original access level record. The only exceptions are fields that are already outdated and will not be maintained because the information is no longer required under these guidelines. Leaving such information may give an incorrect impression of completeness. For example, multiple 321 fields can be replaced by "frequency varies."

Leader and fixed fields

It is required to code only the first byte of the 006 for additional material characteristics, "Form of material."

It is required to code only the first two bytes of the 007: "Category of material" and "Specific material designation."

Code 008 byte 21 (type of continuing resource) as usual.

It is required to code 008 byte 22 (form of original item) only for microforms.

It is not required to code 008 18-19 (frequency and regularity); use 310 instead and see **Frequency (310, 321)** below for further guidelines.

¹ Final wording of these guidelines, especially those for recording place of publication (field 260) and volume, date, and numbering information (field 362) are in process and will be included in the final documentation before implementation (see Appendix O for sample documentation pages).

Main entry heading (1XX)

After applying existing rules and rule interpretations, in any case where the cataloger is still in doubt as to whether the main entry should be under title or corporate body, if the title is distinctive, designate the title proper as main entry and record relevant corporate body access point(s) as added entry heading(s); if the title is generic, i.e., if the title consists solely of words indicating type of resource and/or periodicity of resource, choose the corporate body as the main entry.

Uniform title (130)

It is not required to create or add a uniform title (either as a main entry heading or in conjunction with a personal or corporate name main entry heading) for translations or language editions. Instead, use an added entry (in addition to any 775 linking field) to provide collocation with the original language edition. This is an exception to the general policy stated under **Linking Fields** below that “it is not required to make added entries (730, 740) that duplicate the linking field access points.”

It is not required to create or add a uniform title (either as a main entry heading or in conjunction with a personal or corporate name main entry heading) in order to resolve conflicts according to AACR 25.5B. Create uniform titles *only* for these two categories: 1) when cataloging a monographic series, or 2) when the title consists solely of a word or words indicating the type of resource or the periodicity of the resource, e.g., “monthly newsletter,” “journal,” “biennial working papers,” and there is no 1XX in the record. Continue to create or add uniform titles as required for legal materials and other cases of collocating (as opposed to “distinguishing”) uniform titles.

If an institution needs a unique title for citation purposes, use the rules for uniform titles to create a provisional key title in field 222.

Other title information (245 \$b)

Generally, it is not required to transcribe other title information unless it provides clarification or support to the title proper that otherwise might appear misleading without the other title information.

Record parallel titles and acronyms in field 246. It is not required to repeat parallel titles in 245 \$b.

Statement of responsibility (245 \$c)

It is not required to transcribe a statement of responsibility of any kind if authority records exist or are being established and/or updated in the national authority file. In cases where no authority record will be created or updated, transcribe the statement of responsibility as usual in the bibliographic record so that usage can be documented.

Varying forms of title (246)

Record variant titles that appear prominently in the resource being cataloged, and which a user might reasonably consider to be the title. LCRI 21.30J provides extensive guidance in this area. Also record as variant titles minor title changes. Do not spend a lot of time looking for information buried in the text of the item that could possibly be considered a variant. Refer to guidance in RI 21.30J regarding not creating all possible added entries when titles exhibit multiple possible variations. Record in field 246 (as opposed to 245 \$b) acronyms and those language forms of parallel titles found on the chief source that are specified in the LCRIs for parallel titles. Use \$f to indicate applicable date ranges for parallel titles, if these change over time.

It is not required to provide information on the source of the variant title. Accordingly, indicator values for variant titles can be coded 3[blank] with the exception of added entries for minor title changes. In these cases only, record the minor title change as usual: 246 1 [blank] with \$i and an appropriate note, e.g., “Vols. [or issues] for... have title: ...” Record any abbreviated titles (including abbreviated citation titles that might appear in a running title position on the first page of an article) in field 210, not in field 246.

For online serials, as a general rule of thumb, do your best to find the earliest issue appearing on the site. Once you have located that issue, generally consider recording as variant titles only titles appearing in sources that can be accessed by scrolling up or down one or two pages from that issue’s title page or title screen or by clicking on a prominently displayed icon or menu choice on a home page or a main menu page.

Place of publication, distribution, etc. (260 \$a)

It is required to supply only the first named place of publication for all but online resources (see below). Is it not required to supply any additional places of publication, even places in the home country of the cataloging agency.

For online resources: if a place of publication is readily available (within one page link of the home page and/or issue being described) supply that place in field 260 \$a. Otherwise, supply [S.l.] in field 260 \$a. Code the fixed field country code as appropriately as possible.

Extent of publication (300 \$a)

This element is not required except for non-print formats.

Frequency (310, 321)

Always provide the current frequency in field 310. It is not required to provide the former frequency in field 321. If using copy where the frequency in field 310 is no longer current and a field 321 is present, update field 310 to reflect the current frequency and replace existing field 321 information with “Frequency varies” regardless of how many former frequencies there are.

Dates of publication/designation (260 \$c, 362)

It is not required to supply dates in 260 \$ c. In all cases, supply dates of publication/designation in a note in an unformatted style (field 362, first indicator 1, “Began with...”). This should make it clearer to the user that the information provided refers to beginning and ending dates of the publication, rather than a library’s holdings.

It is not required to use abbreviations when supplying this information; formulate the note as usual (i.e. keep the usual order and structure of the note) but instead of using prescribed abbreviations, transcribe what appears on the item (i.e., if a word is spelled out on the item, spell it out; if a word is abbreviated on the item, use the abbreviation as found.). Numbers may be transcribed as found or, if numbers are written out on issues, they may be recorded in Arabic numerals, whichever is easiest.

Optionally, add a 515 note to record new series designations, changes in numbering, etc. formerly recorded as formatted field 362 information.

Series statement/notes (4XX/8XX)

If series authority records exist or are being established and/or updated in the national authority file, it is not required to transcribe a series statement or note. Supply only the authorized form of the series name in the bibliographic record, using the 8XX field. Record variant forms of the series title in the authority record. Document changes in the series statement over time in a 500 note on the bibliographic record. In cases where no series authority exists or will be created, transcribe the series statement so that usage can be documented.

General notes (500) Routinely provide only the following 500 notes, but provide them on *all* records: Source of title, issue on which the description is based (DBO); latest issue consulted (LIC), if applicable.

Numbering Peculiarities Note (515)

Optionally, may be used to record new series designations, changes in numbering, etc. formerly recorded as formatted field 362 information.

Systems details note (538)

For direct access electronic resources, it is not required to make a 538 note except in cases when it is necessary to indicate the type of operating system or the make and model of the computer(s) on which the resource is designed to run.

For remote access electronic resources, make a note on mode of access only if the resource is accessed other than through the World Wide Web.

When using copy that includes 538 information that is outdated, replace the outdated information with current information only if the current information is appropriate under the above guidelines; otherwise delete the outdated information. Do not provide current information for the sole reason of adding to or replacing outdated information.

Language (008 35-37, 041 \$a, 546)

Record the language of the publication in the fixed field (008 bytes 35-37). If the item's main content is in more than one language, record all languages in \$a's of field 041 but do not code the other subfields. Record information about translations, different languages of summaries, tables of contents, or accompanying material only in an eye-readable 546 note.

Linking entry complexity note (580)

It is not required to supply this information in a note. Use linking entries whenever possible.

Notes to justify added entries (550, other note fields)

It is not required to use 550 or other notes simply to justify added entries. If a corporate body's name has changed over time, update the authority records in the national authority file to reflect these changes and add a note to the authority record to indicate the dates the different bodies have been associated with the resource. If no authority record will be created or updated, document the usage through transcription in the bibliographic record (either by supplying a 245 \$ b or c, or a 550 note).

Linking fields (76X – 78X)

Follow CONSER and MARC guidelines for supplying all linking fields except: 773 (host item), 774 (constituent unit entry), and 787 (non-specific relationship), which are not required. It is not required to make added entries (730, 740) that duplicate the linking field access points.

Use 776 \$i rather than a 530 note, to describe any additional physical formats available.

URLs, URIs (856)

Remote access electronic resources generally have a URI associated with the resource. CONSER records should contain generally-accessible URIs that point to the publisher's version of the resource or to a version in a trusted archive. Local URIs or password-protected URIs should not be recorded in the national level record.

DECISION MAKING GUIDANCE

The following guidance is intended to help simplify the decision making process when used in conjunction with AACR2 rules and Rule Interpretations to record place of publication, establish corporate headings, and determine major and minor title changes.

Place of Publication

I. Formal publishing statement with multiple places of publication

E.g. Across the bottom of the cover: Harwood, Amsterdam, Beijing, Canberra, New York, Paris

P. [2] of cover: Published in Newark, New Jersey by Harwood Academic Publishers

Record the first named place.

II. No formal publishing statement

If there is no publisher presented on the item, infer the place of publication from the following sources printed on the item in this order, and bracket the data in the 260 \$a:

- Address of issuing body
- Editorial business office address
- Other editorial office address
- Subscription address

Do not infer a city of publication from a personal editor's address unless you have clear evidence that the editor is also the publisher. However, you may use a personal editor's address to infer the country of publication [Rule 1.4C6].

Establishing Corporate Headings

Create a name heading for a body in the form by which it is commonly identified, and which is used by the body itself. Determine this form of name from works issued by the body in its own language (including its Web site). For international bodies, or for bodies that include English as one of their official languages, use the English form of name.

If there are multiple forms of the name, prefer the form presented formally on the chief source and/or the predominant form as evidenced by other works issued by the body. If in doubt as to whether to choose the full form of the name over an acronym or initialism, always choose the full form. When faced with two equally acceptable name forms, do not agonize but rather choose one and make a reference from the other in the name authority record. Make as many references in the authority record as seem appropriate to provide access for users of the catalog in performing searches, including keyword searches.

Add a qualifier to any name that in your judgment does not convey the idea of a corporate body. Also feel free to add a qualifier if in your opinion the addition assists in the understanding of the nature and purpose of the body.

Enter a subordinate body under the name of the higher or related body in all cases in which the name implies that it is an administrative part of another body, or in which the name is too general to stand by itself. When in doubt, assume that a name is general in nature and should therefore be entered subordinately. When in doubt as to whether to omit or retain any intervening body in a hierarchy, choose to retain it.

The desired result of your work is a name heading that, together with the references, provides access to the corporate body and its works. There are seldom "right" or "wrong" decisions in the grey areas of the name authority process; base your decisions on the usefulness of the name heading in providing access and collocation in the catalog.

Major vs. Minor Changes

Rules of thumb for problematic situations:

Resource-type words: If the word can be used with an indefinite article, consider it a resource-type word (using this guideline, *newspaper* is a resource-type word; *news* is **not**

a resource-type word). Frequency words are not considered resource-type words (though commonly used that way in English). In case of doubt, consider a word to be a resource-type word.

Minor Word Variations: In case of doubt, consider a different representation to be the same word but use caution and perhaps a dictionary in the case of different grammatical forms since words like *man* and *male* are different words with different meanings.

Geographic term or government body? When the serial is issued by or associated with a government body, consider a geographic term to be a representation of the corporate body's name (e.g., *California facts and figures* issued by an agency of the California state government).

Change of meaning or subject matter: Limit the application of this rule to changes that would be reflected in subject headings, and cases where the publisher indicates that the title change reflects a change in scope.

Title change analysis

Changed titles might include multiple changes simultaneously. The cataloger must determine whether *any* of the changes are considered major (since multiple minor changes are collectively still considered minor). Answering the questions on the following chart can help:

IS THERE A CHANGE IN MEANING OR
SUBJECT MATTER IN THE TITLE
SUCH THAT NEW SUBJECT HEADINGS
WOULD BE REQUIRED?

YES

MAJOR CHANGE

NO

MINOR CHANGE

IS THERE A CHANGE IN THE FIRST FIVE
WORDS THAT IS **NOT** A MINOR CHANGE*?

YES

MAJOR CHANGE

NO

MINOR CHANGE

IS THERE A DIFFERENT CORPORATE
BODY IN THE TITLE?

YES

MAJOR CHANGE

NO

MINOR CHANGE

*as defined in AACR 21.2A2